



U.S. Department  
of Transportation

**Federal Aviation  
Administration**

Office of the Administrator

800 Independence Ave., S.W.  
Washington, D.C. 20591

May 19, 2016

The Honorable John Thune  
Chairman, Committee on Commerce,  
Science, and Transportation  
United States Senate  
Washington, DC 20510

Dear Mr. Chairman:

As required by the FAA Modernization and Reform Act of 2012, Section 343, the Federal Aviation Administration (FAA) is pleased to provide the enclosed report.

The Act directs the FAA to submit biannual reports on the results of the reviews of the Air Transportation Oversight System (ATOS) database conducted under section 343, including copies of the monthly reports required by subsection (b). However, all part 121 carriers have transitioned from ATOS to the new Safety Assurance System, therefore analysis of adverse trends in regulatory compliance using ATOS data will not represent a valid sample of all operations.

Our Flight Standards Service will continue to use Safety Management Systems and Risk-Based Decision Making principles to identify potential hazards, and the results will be provided to the Associate Administrator for Aviation Safety on a recurring basis. As a result of this transition, the enclosed report delineates the results of ATOS reviews from May 2013 to April 2015, and a synopsis of each region's review is included as an appendix. Beyond April 2015, we believe the review of SAS data at multiple organizational levels meets the intent of Section 343 and are proposing to sunset this congressional reporting requirement.

We have sent identical letters to Chairman Shuster, Senator Nelson, and Congressman DeFazio.

Sincerely,

Michael P. Huerta  
Administrator

Enclosure



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The Honorable Bill Nelson  
Committee on Commerce,  
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United States Senate  
Washington, DC 20510

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The Honorable Bill Shuster  
Chairman, Committee on Transportation and  
Infrastructure  
House of Representatives  
Washington, DC 20515

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800 Independence Ave., S.W.  
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May 19, 2016

The Honorable Peter A. DeFazio  
Committee on Transportation and Infrastructure  
House of Representatives  
Washington, DC 20515

Dear Congressman DeFazio:

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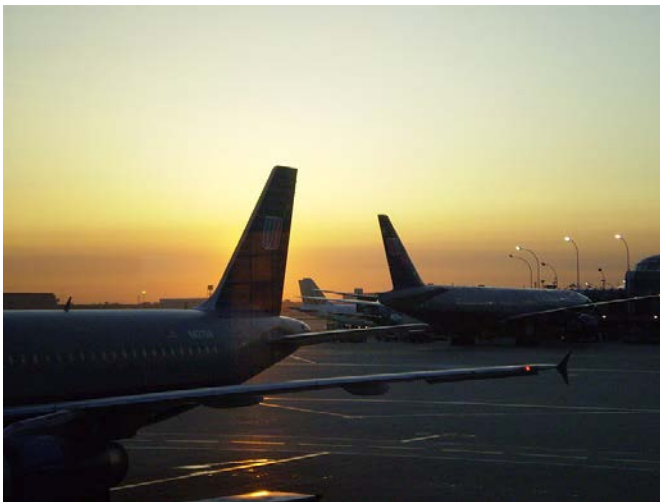
Enclosure



FAA  
Aviation Safety

# ATOS

Report to Congress:  
Results of Monthly Reviews of Air  
Transportation Oversight System (ATOS)  
Data by FAA Flight Standards Regions –  
*Consolidated Data from May 2013 to April 2015*



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# Executive Summary

The Federal Aviation Administration (FAA) Modernization and Reform Act of 2012 (hereafter referred to as the Act) was signed on February 14, 2012. Section 343 of the Act addressed "Review of Air Transportation Oversight System Database" and requires that the Federal Aviation Administration (FAA) Administrator establish a process whereby the FAA Flight Standards (AFS) regions use the Air Transportation Oversight System (ATOS) database to identify trends in regulatory compliance, take appropriate corrective actions where necessary, and submit their findings to the FAA Administrator, the Associate Administrator for Aviation Safety (AVS-1), and the Director of Flight Standards Service (AFS-1) on a monthly basis. Also, the Act requires that the Administrator submit a biannual report to Congress on the results of regional reviews to include copies of the monthly regional reports. While the regions are required to identify trends and take the appropriate corrective actions, the Flight Standards National Field Office (AFS-900) was designated as project coordinator for Flight Standards. Within AFS-900, the Analysis and Information Program Office (AIPO) is the office responsible for facilitating and coordinating the law's implementation.

The FAA would like to highlight several fundamental concepts to provide an understanding of challenges associated with compiling the data for this baseline assessment of ATOS trends. ATOS was designed to allow FAA Aviation Safety Inspectors (ASIs) to perform surveillance and oversight at their individual air carrier at the local level, not to facilitate FAA system-wide or region-wide analysis. Secondly, the ATOS process uses periodic assessments of the different elements of the operator's program, at different intervals depending on risk, which span a five year time frame. Lastly, ATOS policy directs the Certificate Management Team (CMT) for each air carrier to prioritize their surveillance activities based on areas of greatest risk; since different carriers have different risks, CMTs may not be evaluating the same elements during a given quarter or year. For these reasons it is difficult for the regions to identify regional trends in this very short time period.

The FAA has determined that the Assessment Determination and Implementation (ADI) scores generated in ATOS module seven is the most suitable for identifying trends. The ADI process is used by principal inspectors to determine if an air carrier's system is properly designed and if it performs as intended. Therefore ADI data is reported herein.

This report covers a consolidated summary of monthly reviews of ATOS data from May 2013 to April 2015. The Flight Standards regional offices reviewed ADI scores for their operators under the ATOS, calculating possible trends, and reviewing all relevant underlying data when possible adverse trends were detected. Teams of FAA employees including Operations Research Analysts (ORAs) and ASIs reviewed inspection findings and corrective actions being worked by the CMTs for the operators involved in the adverse trend. The regional office teams considered whether additional corrective actions were required to address the risk. Finally, the regional office team documented their findings and transmitted that memo to AIPO in AFS-900. The AIPO created a synopsis of monthly findings, with each region's monthly report attached. Monthly reporting to AFS-1, AVS-1 and the Administrator commenced with the September 2012 report, when sufficient data had been assembled and a format for presentation refined.

It is important to note that FAA surveillance of 14 CFR part 121 operators began a phased transition from ATOS to the FAA's new Safety Assurance System (SAS) in July 2014 that will be completed in January 2016. As each 14 CFR part 121 operator is transitioned from ATOS to SAS, the responsible AFS region excludes that operator from any future Section 343 analysis. The following AFS regions are no longer performing Section 343 analysis because all 14 CFR part 121 operators within their region have been moved to SAS:

- Alaska Region (final Section 343 analysis covered September 2014)
- Central Region (final Section 343 analysis covered November 2014)
- Northwest Mountain Region (final Section 343 analysis covered January 2015).

During the period of May 2013 to April 2015 Flight Standards regional offices documented a total of 69 adverse trends in regulatory compliance. There were 25 airworthiness (AW) elements identified as having adverse trends and 11 operations (OP) elements identified. Eight elements were cited three or more times during the 24 month period.

As FAA surveillance of 14 CFR Part 121 operators continues the transition from ATOS to the FAA's new Safety Assurance System (SAS) through 2016, there will be less and less ATOS surveillance data to analyze under this Section 343 program. As of April 1, 2015, FAA oversight of 60% of the active 14 CFR part 121 operators has transitioned to SAS and therefore analysis of adverse trends in regulatory compliance using ATOS data will not represent a valid sample of all operators.

This report represents a roll-up of ATOS data covering May 2013 through April 2015. Due to the declining amount of ATOS surveillance as FAA transitions to SAS, the Flight Standards National Field Office (AFS-900) recommends a closeout of further reporting of adverse trends based on ATOS data. AFS-900 will continue to use the regional review structure put in place for ATOS reviews as a foundation to ensure an appropriate process is in place that periodically reviews operational hazard and risk information, to include SAS data, to identify possible adverse trends. This process will use Safety Management System (SMS) and Risk-Based Decision Making (RBDM) concepts and principles to identify potential hazards that need to be monitored by Flight Standards. The results will be provided to the Associate Administrator for Aviation Safety on a recurring basis. We believe this will meet the fundamental intent of Sec 343 that FAA conduct reviews at several organizational levels of information sources, to include oversight data, for possible adverse trends, and provide that information to senior safety officials.



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## Public Law Requiring Air Transportation Oversight System (ATOS) Reviews

The FAA Modernization and Reform Act of 2012 (Reauthorization of The Federal Aviation Administration) was signed by the President on February 14, 2012. Section 343 of the law addressed "Review of Air Transportation Oversight System Database" and contained the following requirements:

**(a) REVIEWS.**—The Administrator of the Federal Aviation Administration shall establish a process by which the air transportation oversight system database of the Administration is reviewed by regional teams of employees of the Administration, including at least one employee on each team representing aviation safety inspectors, on a monthly basis to ensure that—

- (1) any trends in regulatory compliance are identified; and
- (2) appropriate corrective actions are taken in accordance with Administration regulations, advisory directives, policies, and procedures.

**(b) MONTHLY TEAM REPORTS.**—

(1) **IN GENERAL.**—A regional team of employees conducting a monthly review of the air transportation oversight system database under subsection (a) shall submit to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service a report each month on the results of the review.

(2) **CONTENTS.**—A report submitted under paragraph (1) shall identify—

- (A) any trends in regulatory compliance discovered by the team of employees in conducting the monthly review; and
- (B) any corrective actions taken or proposed to be taken in response to the trends.

**(c) BIENNIAL REPORTS TO CONGRESS.**—The Administrator, on a biennial basis, shall submit to the Committee on Transportation and Infrastructure of the House of Representatives and the Committee on Commerce, Science, and Transportation of the Senate a report on the results of the reviews of the air transportation oversight system database conducted under this section, including copies of reports received under subsection (b).

## Overview of ATOS

FAA inspectors use the ATOS to conduct surveillance of air carrier maintenance and operations at all Part 121 U.S. air carriers. FAA inspectors apply system safety principles and use data analysis to focus their inspections on areas that pose the greatest risk and identify potential problems before accidents occur. ATOS has three primary functions: assessments of air carrier system design, assessments of air carrier system performance, and risk management. All three of these functions require decisions by FAA inspectors and managers; therefore, ATOS is considered a decision support system.

Under ATOS, FAA's primary responsibilities are: (1) to verify that an air carrier is capable of operating safely and complies with the regulations and standards prescribed by the Administrator before issuing an air carrier operating certificate and before approving or accepting air carrier programs; (2) to verify that an air carrier continues to meet regulatory requirements when environmental changes occur by conducting periodic reviews; and (3) to continually validate the performance of an air carrier's approved and accepted programs for the purpose of continued operational safety.

## ATOS Design Assessments and Performance Assessments

The Design Assessment (DA) is the ATOS function that ensures an air carrier's operating systems comply with regulations and safety standards, including the requirement to provide

service at the highest level of safety in the public interest. DA is an extremely important function of ATOS because safety is the outcome of a properly designed system.

The Performance Assessment (PA) is used by FAA inspectors to confirm that an air carrier's operating systems produce intended results, including mitigation or control of hazards and associated risks. ATOS uses time-based PAs to detect latent, systemic failures that may occur due to subtle environmental changes. PA schedules are also adjustable based on known risks or safety priorities. Surveillance provides information for PAs and risk management.

ATOS uses a structured process to analyze how systems, subsystems, and elements interact. Seven air carrier systems form the basis for the ATOS system-based approach. Each of these systems has a defined set of subsystems and elements. Elements are interrelated activities or actions completed to support air carrier subsystems and systems. These ATOS elements are shown in Appendix B. The Design Assessment or DA is the ATOS function that ensures an air carrier's operating systems comply with regulations and safety standards, including the requirement to provide service at the highest level of safety in the public interest. DA is the most important function of ATOS because safety is the outcome of a properly designed system. Once the initial DA for an element is complete, the Principal Inspector (PI) or Certification Project Manager (CPM) must schedule and complete all ATOS DAs in a five year frequency, unless the PI or CPM documents in the ATOS database a risk-based rationale for not doing so.

The baseline interval for PAs is once every six months for high-criticality elements, once a year for medium-criticality elements, and once every three years for low-criticality elements. After completing the initial PA for an element, the PI or CPM must schedule another assessment within the applicable baseline intervals. It is important to understand that the FAA will not collect all of the requisite data for an air carrier until a full five year cycle is completed.

### **ATOS Assessment Determination and Implementation (ADI) Scores**

One of the outputs of the ATOS business process are the Assessment Determination and Implementation (ADI) Scores generated in Module 7 of the ATOS process, Design Analysis and Assessment (for Design Assessments) and Performance Analysis and Assessment (for Performance Assessments). The analysis and assessment process modules are used by the principal inspector (PI) to make a bottom-line assessment about whether the air carrier's system design meets the standards for acceptance or approval (for DAs), or to determine whether the air carrier's system performs as intended by regulations in such a way that it controls environmental hazards (for PAs).

The ATOS analysis and assessment process requires analysis of the Safety Attribute Inspection (SAI) data by element (for DAs) or Element Performance Inspection (EPI) data by element (for PAs). The PI assesses the data analysis package, comparing analyzed and assessed SAI/EPI data for the current DA or PA with historical data and other data for the Element. After assessing the ATOS data analysis package with input from other Certificate Management Team (CMT) members, as required, the PI determines whether the air carrier system design for that element meets the requirements for either continued approval or acceptance, or initial approval or acceptance.

For a DA, once the PI completes the bottom-line assessment, the PI decides to accept or reject the design and assigns a numerical ADI score from 1 to 6, as described in Table 1.

- No rationale is required for bottom-line assessment category 1 (green) for "No issues observed."
- If the design is accepted, the PI includes the rationale for bottom-line assessments categories 2 through 5 (green or yellow).
- If the PI determines that the air carrier's system design does not meet the requirements for approval, the PI assigns an ADI score of 6 (red) and documents the rationale for the decision and any issues or concerns.

**Table 1: Bottom-line Design Assessment ADI Scores**

ADI Score	Assessment Result		Action Required
1	Design Approved	No issues observed	No action required
2	Design Approved	Minor issues observed	No action required
3	Design Approved	Minor issues observed	Mitigation required
4	Design Approved	Major issues observed	Mitigation required
5	Design Approved	Safety and/or regulatory issues observed	Mitigation required
6	Design Rejected	Systemic safety and/or regulatory issues observed	System reconfiguration by air carrier or applicant required

For a PA, once the PI completes the bottom-line assessment, the PI decides whether or not to affirm performance and assigns a numerical ADI score from 1 to 6, as described in Table 2.

- No rationale is required for bottom-line assessment category 1 (green) for “No issues observed.”
- If performance is affirmed, the PI includes the rationale for bottom-line assessments categories 2 through 4 (green or yellow).
- If the PI determines that the applicant’s or air carrier’s system performance is not affirmed, the PI assigns an ADI score of 5 (yellow) or 6 (red), as applicable, and documents the rationale for the decision and any issues or concerns.

**Table 2: Bottom-line Performance Assessment ADI Scores**

ADI Score	Assessment Result		Action Required
1	Performance Affirmed	No issues observed	No action required
2	Performance Affirmed	Minor issues observed	No action required
3	Performance Affirmed	Minor issues observed	Action Required
4	Performance Affirmed	Issues of concern observed	Action Required
5	Performance Not Affirmed	Safety and/or regulatory issues observed	Action Required
6	Performance Not Affirmed	Systemic safety and/or regulatory issues observed	System reconfiguration by air carrier or applicant is required

## Analytical Process for Monthly Reviews of ATOS by the Regions

This section describes the process and methodology used to determine trends and corrective actions required by the Act.

### Development of Analytical Process

AFS-900, the project coordinator, and the regions developed the process used by the regional offices to meet the requirements of Section 343. AIPO met with regional teams in developing this project. Each individual regional team is composed of the manager of the Safety Analysis & Evaluation Branch, one or more ORAs, and one or more ASIs. This working group is referred to as the "Section 343 Project Team."

Regulatory compliance (or non-compliance) has been determined by the Project Team to include items noted by inspectors that related to regulatory issues, but not limited to issues being pursued under the FAA Compliance and Enforcement Program. It was also determined that ATOS issues

would not be limited to those questions in the ATOS Data Collection Tools (DCTs) flagged with "Specific Regulatory Requirements" because ATOS as a whole is designed to ensure regulatory compliance.

The Section 343 Project Team agreed that items identified for tracking would meet the following criteria:

- They can be consistently applied across all AFS regions
- The analysis will be limited to analysis of ATOS data
- The item was identified more than once (more than one data point)
- Agreed-upon definition of an "adverse trend."

### **Analytical Process Selected for Monthly Reviews of ATOS data**

The requirements for monthly reviews of ATOS data by each AFS regional office was set forth by AFS-900 in the document "Process for Monthly Review of ATOS Data v.6.0" (last updated November 5, 2014). This document is included here as Appendix C. A template for the memo used by the regions to transmit their findings from this process to AFS-900 is included as Appendix D.

### **Changes to Program Due to Implementation of FAA's New Safety Assurance System (SAS)**

Starting in June 2014, FAA surveillance of 14 CFR Part 121 operators began a phased transition from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition of all Part 121 operators will transpire over the period from July 2014 to January 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS region will **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program. At that time, the region should submit a monthly memo under Section 343 program that indicates that "Regional Adverse Trends in Regulatory Compliance under the ATOS program" can no longer be evaluated due to the transition from the ATOS program to the SAS program. Submittal of a monthly memo will not be required after that point for that region.

The following AFS regions are no longer performing Section 343 analysis because all 14 CFR part 121 operators within their region have been moved to SAS:

- Alaska Region (final Section 343 analysis covered September 2014)
- Central Region (final Section 343 analysis covered November 2014)
- Northwest Mountain Region (final Section 343 analysis covered January 2015).

### **Results of ATOS Reviews by Regions**

This report covers a consolidated summary of monthly reviews of ATOS data from May 2013 to April 2015. The Flight Standards regional offices reviewed ADI scores for their operators, calculating possible trends, and reviewing all relevant underlying data when possible adverse trends were detected. Teams of FAA employees including ORAs and ASIs reviewed inspection findings and corrective actions being worked by the CMTs for the operators involved in the adverse trend. The regional office teams considered whether additional corrective actions were required to address the risk. Finally, the regional office team documented their findings and transmitted a summary memo to AIPO in AFS-900. The AIPO created a synopsis of monthly findings, with each region's monthly report attached. Monthly reporting to AFS-1, AVS-1 and the Administrator commenced with the September 2012 report, when sufficient data had been assembled and a format for presentation refined.

Appendix E presents the synopses of findings from the regions for each of the months of data from May 2013 to April 2015. It is important to note the following when reviewing the results being presented:

- ATOS is designed for the CMT to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative regional trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments can occur at six-month, one-year, or three-year intervals while a Design Assessment occurs at a five-year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- Due to the phased transition from ATOS to SAS, which began in July 2014 and lessened the amount of available data, additional trends may exist that will be identified in future reports.

## Adverse Trends Found In Regulatory Compliance

During the period of May 2013 through April 2015 the Flight Standards regional offices documented a total of 69 adverse trends in regulatory compliance. There were 25 airworthiness (AW) elements identified as having adverse trends and 11 operations (OP) elements identified. Eight elements were cited three or more times during the 24 month period, as shown in Table 3.

**Table 3**  
**Adverse Trends in Regulatory Compliance Identified**  
**During ATOS Monthly Reviews: May 2013 through April 2015**

<b>Airworthiness (AW)</b>		<b>Total Mentions</b>
1.3.7	Maintenance Providers	5
1.3.10	Aircraft Parts / Material Control	4
1.3.16	Fueling	4
1.1.3	Special Flight Permits	3
1.3.19	Lower Landing Minimums	3
7.1.6	Maintenance Control	3
1.3.11	Continuous Analysis and Surveillance System (CASS)	2
1.3.18	De-Icing Program (Airworthiness)	2
1.3.2	Maintenance / Inspection Schedule	2
1.3.25	Cargo Handling Equipment, Systems and Appliances	2
1.3.3	Maintenance Facility / Main Maintenance Base	2
1.3.4	Required Inspection Items (RII)	2
1.3.6	Airworthiness Directives and Maintenance Record Requirements	2
5.1.1	Line Stations	2
1.2.1	Airworthiness Release / Maintenance Log Recording Requirements	1
1.2.4	Mechanical Interruption Summary (MIS) / Service Difficulty Report (SDR)	1
1.3.1	Maintenance Program	1
1.3.15	Reliability Program	1
1.3.23	Short-Term Escalations	1
1.3.5	MEL / CDL / Deferred Maintenance (AW)	1
1.3.8	Control of Calibrated Tools and Test Equipment	1
1.3.9	Major Repairs and Alterations	1
2.1.1	Manual Management	1
4.2.1	Training Program	1
5.1.9	RVSM Authorization	1
<b>Total Mentions for Airworthiness Adverse Trends</b>		<b>49</b>
<b>Operations (OP)</b>		<b>Total Mentions</b>
5.1.5	Line Station Operations/Ground Personnel Duties	4
3.2.1	Dispatch / Flight Release	3
3.1.6	Exit Seating Program	2
4.2.6	Training of Station Personnel	2
4.3.2	Appropriate Airmen / Crewmember Checks and Qualifications	2
6.1.2	Flight Crewmember Flight / Duty / Rest Time	2
3.1.4	Operational Control	1
3.1.5	Carry-On Baggage Program	1
4.2.3	Training of Flight Crewmembers	1
4.2.9	Outsource Crewmember Training	1
4.3.1	Pilot Operating Limitations / Recent Experience	1
<b>Total Mentions for Operations Adverse Trends</b>		<b>20</b>
<b>Total Mentions for Adverse Trends (AW + OP)</b>		<b>69</b>



## **Discussion of Corrective Actions Taken**

Once an adverse trend is identified by an AFS regional office as part of the Section 343 review of ATOS data, the Section 343 Project Team within that office reviews any corrective actions already initiated by the relevant CMT(s) for the operator(s) involved in the adverse trend, as well as other relevant data. The project team then determines whether additional corrective action is needed to address the risk area.

Corrective actions taken by the regional offices in response to the adverse trends identified in the reviews of data from May 2013 to April 2015 were generally to "continue to monitor this trend." In each case where adverse trends were identified, the responsible regional office determined that the corrective actions being taken by the responsible CMT were appropriate and no further action (other than monitoring the issue) was required. Most regions have reported their findings in language such as "Actions by CMT(s) are appropriate and region will continue to monitor."

## **Conclusion**

As FAA surveillance of 14 CFR Part 121 operators continues the transition from ATOS to the FAA's new Safety Assurance System (SAS) through 2016, there will be less and less ATOS surveillance data to analyze under this Section 343 program. As of April 1, 2015, FAA oversight of 60% of the active 14 CFR part 121 operators has transitioned to SAS and therefore analysis of adverse trends in regulatory compliance using ATOS data will not represent a valid sample of all operators.

This report represents a roll-up of ATOS data covering May 2013 through April 2015. Due to the declining amount of ATOS surveillance as FAA transitions to SAS, the Flight Standards National Field Office (AFS-900) recommends a closeout of further reporting of adverse trends based on ATOS data. AFS-900 will continue to use the regional review structure put in place for ATOS reviews as a foundation to ensure an appropriate process is in place that periodically reviews operational hazard and risk information, to include SAS data, to identify possible adverse trends. This process will use Safety Management System (SMS) and Risk-Based Decision Making (RBDM) concepts and principles to identify potential hazards that need to be monitored by Flight Standards. The results will be provided to the Associate Administrator for Aviation Safety on a recurring basis. We believe this will meet the fundamental intent of Sec 343 that FAA conduct reviews at several organizational levels of information sources, to include oversight data, for possible adverse trends, and provide that information to senior safety officials.

## Appendix A: List of Acronyms

ACEP	Air Carrier Evaluation Process
ADI	Assessment Determination and Implementation
AFS-1	Director of Flight Standards Service
AFS-900	Flight Standards National Field Office
AIPO	Analysis and Information Program Office (part of AFS-900)
ASI	Aviation Safety Inspector
ATOS	Air Transportation Oversight System
AW	Airworthiness
AVS-1	Associate Administrator for Aviation Safety
CATT	Corrective Action Tracking Tool
CFR	Code of Federal Regulations
CMT	Certificate Management Team
ConDOR	Constructed Dynamic Observation Report
CPM	Certification Project Manager
DA	Design Assessment
DCT	Data Collection Tool
DOR	Dynamic Observation Report
DR	Design (Assessment) Result
EIP	Enforcement Investigation Program
EPI	Element Performance Inspection
OP	Operations
ORA	Operations Research Analysts
PA	Performance Assessment
PI	Principal Inspector
PR	Performance (Assessment) Result
RBDM	Risk-Based Decision Making
SAI	System Attribute Inspection
SAS	Safety Assurance System
SAT	System Analysis Team
SMS	Safety Management System

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## Appendix B: ATOS System/Subsystem/Elements

**ATOS System/Subsystem/Element Chart—Airworthiness Elements**

<b>1.0 Aircraft Configuration Control</b>		<b>2.0 Manuals</b>	
<b>1.1 Aircraft</b>		<b>2.1 Manual Management</b>	
1.1.3 (M)	Special Flight Permits	2.1.1 (M)	Manual Management
<b>1.2 Records and Reporting Systems</b>			
1.2.1 (M)	Airworthiness Release/Maintenance Log Recording Requirements		
1.2.4 (L)	Mechanical Interruption Summary (MIS)/Service Difficulty Report (SDR)	<b>4.0 Personnel Training and Qualifications</b>	
<b>1.3 Maintenance Organization</b>		<b>4.1 Maintenance Personnel Qualifications</b>	
1.3.1 (M)	Maintenance Program	4.1.1 (M)	RII Personnel
1.3.2 (M)	Maintenance/Inspection Schedule	4.1.2 (L)	Maintenance Certificate Requirements
1.3.3 (M)	Maintenance Facility/Main Maintenance Base	<b>4.2 Training Program</b>	
1.3.4 (H)	Required Inspection Items (RII)	4.2.1 (M)	Maintenance/ RII Training Program
1.3.5 (H)	Minimum Equipment List (MEL)/Configuration Deviation List (CDL)/Deferred Maintenance		
1.3.6 (H)	Airworthiness Directives (AD) and Maintenance Record Requirements		
1.3.7 (H)	Maintenance Providers	<b>5.0 Route Structures</b>	
1.3.8 (M)	Control of Calibrated Tools and Test Equipment	<b>5.1 Approved Routes and Areas</b>	
1.3.9 (H)	Major Repairs and Alterations	5.1.1 (H)	Line Stations
1.3.10 (M)	Aircraft Parts/Material Control	5.1.8 (H)	Extended Operations (ETOPS)
1.3.11 (H)	Continuing Analysis and Surveillance System (CASS)	5.1.9 (M)	Reduced Vertical Separation Minimum (RVSM) Authorization
1.3.15 (H)	Reliability Program		
1.3.16 (M)	Fueling		
1.3.17 (M)	Weight and Balance (W&B) Program	<b>7.0 Technical Administration</b>	
1.3.18 (M)	Deicing Program	<b>7.1 Key Personnel</b>	
1.3.19 (M)	Lower Landing Minimums	7.1.1 (L)	Part 119 Required Personnel
1.3.23 (M)	Short-Term Escalations	7.1.6 (H)	Maintenance Control
1.3.24 (L)	Coordinating Agencies for Supplier's Evaluation (C.A.S.E.)		
1.3.25 (H)	Cargo Handling Equipment, Systems and Appliances		

**(H):** High Criticality Elements.

**(M):** Medium Criticality Elements.

**(L):** Low Criticality Elements.

## ATOS System/Subsystem/Element Chart—Operations Elements

1.0 Aircraft Configuration Control		4.0 Personnel Training and Qualifications	
<b>1.1 Aircraft</b>		<b>4.2 Training Program</b>	
1.1.2 (L)	Appropriate Operational Equipment	4.2.3 (M)	Training of Flightcrew Members
<b>2.0 Manuals</b>		4.2.4 (M)	Training of Flight Attendants (F/A)
<b>2.1 Manual Management</b>		4.2.5 (M)	Training and Qualification of Dispatchers/Flight Followers
2.1.1 (M)	Manual Management	4.2.6 (M)	Training of Station Personnel
<b>3.0 Flight Operations</b>		4.2.7 (M)	Training of Check Airman and Instructors
<b>3.1 Air Carrier Programs and Procedures</b>		4.2.8 (M)	Simulators/Training Devices
3.1.1 (M)	Passenger Handling	4.2.9 (M)	Outsource Crewmember Training
3.1.2 (M)	Crewmember Duties/Cabin Procedures	4.2.12 (L)	Hazardous Materials (hazmat) Training Program
3.1.3 (H)	Airman Duties/Flight Deck Procedures	<b>4.3 Crewmember and Dispatch Qualifications</b>	
3.1.4 (M)	Operational Control	4.3.1 (M)	Pilot Operating Limitations/Recent Experience
3.1.5 (M)	Carry-on Baggage Program	4.3.2 (M)	Appropriate Airmen/Crewmember Checks and Qualifications
3.1.6 (M)	Exit Seating Program	4.3.3 (M)	Advanced Qualification Program (AQP)
3.1.7 (M)	Deicing Program	<b>5.0 Route Structures</b>	
3.1.8 (M)	Carriage of Cargo	<b>5.1 Approved Routes and Areas</b>	
3.1.9 (M)	Airplane Performance Operating Limitations	5.1.5 (H)	Line Station Operations/Ground Personnel Duties
3.1.10 (L)	Category (CAT) II & III Operations	5.1.6 (L)	Use of Approved Areas, Routes, and Airports
3.1.11(L)	Computer Based Recordkeeping	5.1.7 (L)	Special Navigation Areas of Operation
3.1.12 (M)	Hazmat	5.1.8 (H)	Extended Operations (ETOPS)
<b>3.2 Operational Release</b>		5.1.9 (L)	Reduced Vertical Separation Minimum (RVSM) Authorization
3.2.1 (H)	Dispatch/Flight Release	<b>6.0 Airman and Crewmember Flight, Rest and Duty Time</b>	
3.2.2 (H)	Flight/Load Manifest/Weight and Balance (W&B) Control	<b>6.1 Airman and Crewmember Limitations</b>	
3.2.3 (H)	Minimum Equipment List (MEL)/Configuration Deviation List (CDL)/nonessential equipment and furnishings (NEF) Procedures	6.1.2 (M)	Flightcrew Member Flight/Duty/Rest Time
		6.1.3 (M)	F/A Duty/Rest Time
		6.1.4 (M)	Dispatcher Duty/Rest Time
		<b>7.0 Technical Administration</b>	
		<b>7.1 Key Personnel</b>	
		7.1.3 (L)	Part 119 Required Personnel
		<b>7.2 Other Programs</b>	
		7.2.1 (M)	Safety Program (Ground and Flight)

**(H):** High Criticality Elements.

**(M):** Medium Criticality Elements.

**(L):** Low Criticality Elements.

## **Appendix C**

### **Requirements for Monthly Review of ATOS Data by FAA AFS Regions**

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# Requirements for Monthly Review of ATOS Data by FAA AFS Regions

*Version 5.7*

## BACKGROUND

The FAA Modernization and Reform Act of 2012 (Reauthorization of The Federal Aviation Administration), known as Public Law 112-95, was signed by the President February 14, 2012. Section 343 of the law addressed "Review of Air Transportation Oversight System Database" and contained the following requirements:

**(a) REVIEWS.**—The Administrator of the Federal Aviation Administration shall establish a process by which the air transportation oversight system database of the Administration is reviewed by regional teams of employees of the Administration, including at least one employee on each team representing aviation safety inspectors, on a monthly basis to ensure that—

- (1) any trends in regulatory compliance are identified; and
- (2) appropriate corrective actions are taken in accordance with Administration regulations, advisory directives, policies, and procedures.

**(b) MONTHLY TEAM REPORTS.**—

(1) **IN GENERAL.**—A regional team of employees conducting a monthly review of the air transportation oversight system database under subsection (a) shall submit to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service a report each month on the results of the review.

(2) **CONTENTS.**—A report submitted under paragraph (1) shall identify—

- (A) any trends in regulatory compliance discovered by the team of employees in conducting the monthly review; and
- (B) any corrective actions taken or proposed to be taken in response to the trends.

**(c) BIENNIAL REPORTS TO CONGRESS.**—The Administrator, on a biennial basis, shall submit to the Committee on Transportation and Infrastructure of the House of Representatives and the Committee on Commerce, Science, and Transportation of the Senate a report on the results of the reviews of the air transportation oversight system database conducted under this section, including copies of reports received under subsection (b).



## FAA FLIGHT STANDARDS REQUIREMENTS

The law is the minimum required by Congress. AVS-1 has determined that additional information is necessary to meet both the requirements and Congressional expectations. This will provide a more complete and accurate picture of what the Regions are doing to identify adverse trends. The following requirements will be met by FAA Flight Standards (AFS) Regions to ensure consistency and standardization.

### Requirements of the AFS Regions

1. On a continuing basis (at least once each month) each AFS region will convene a regional team of employees (RT), including at least one employee representing aviation safety inspectors (ASIs), that will review the ATOS data for the 14 CFR Part 121 certificate holders based in that region to identify Regional Adverse Trends In Regulatory Compliance. All ATOS elements will be reviewed, at a minimum of once per month, consisting of the following:

- Data: The latest Assessment Determination and Implementation (ADI) scores that have been "saved final" for all Design Assessments (DAs) and Performance Assessments (PAs) within each ATOS element, for each operator based within the AFS region. Some of these scores will be "new" each month, as a new ADI was completed by the CMT, and some will represent the ADI score that was last completed by the CMT.
- Metric for trending: Average ADI score for each ATOS element across all Part 121 operators within the region, for each month of data<sup>1</sup>.
- Time period: The initial data reviewed will be for the month of February 2012 and will continue until the requirement is no longer required. ADI scores back to April 2011 will be used to establish historical averages and standard deviations. Note that the monthly regional trend analysis will be cumulative and will include all data previously reviewed.

The AFS regions can obtain this data set via a query-and-processing tool that pulls the latest ATOS data and calculates regional and national average scores for each element. The tool can be found at <http://fsaic-info.avs.faa.gov/fsaic-wizard/section343>.

2. Elements requiring further analysis to determine if they exhibit adverse trends will be defined as having either one of two characteristics:

- (1) The average ADI score exhibits an adverse upward trend over the months (i.e., rising over time) and/or
- (2) The average ADI score exhibits a relatively flat trend with average values greater than or equal to an ADI score of 4 ("Design or Performance Accepted/Approved with Mitigation, Major Issues Observed").

Such elements will be subject to the analysis of Step 3 below. Elements with neither characteristic require no further action by the Region for the purpose of this report.

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<sup>1</sup> Quarters of the fiscal year have no bearing on this methodology.

3. The Region shall report its findings in one of the following categories:

- Identified Regional Adverse Trends in Regulatory Compliance
- Potential Adverse Trends Being Monitored.

For each element requiring further analysis based on the criteria in Item (2) above, the RT shall review relevant ATOS data, including SAI and EPI questions with "no" responses (as needed), relevant DORs (including ConDORs and Random Inspections), enforcement actions initiated as a result of any inspections, items in the Corrective Action Tracking Tool (CATT) and other information as needed to understand the potential causes of the trend in ADI scores. The RT shall determine if the specific issues driving the trend are related to regulatory compliance or are ATOS non-compliance items without linkage to rules and/or regulations. If the trend involves two or more operators within the region and relates to regulatory compliance, the trend should be documented as an "Identified Regional Adverse Trend in Regulatory Compliance." If the trend does not relate to regulatory compliance, only involves a single operator, or it has not yet been determined which category it belongs in, it should be documented as a "Potential Adverse Trend Being Monitored."

4. For each Regional Adverse Trend in Regulatory Compliance identified, the Region shall determine appropriate corrective action or actions to be taken to address the adverse situation. These corrective actions might include such things as requesting additional surveillance activities, proposing changes to FAA policy or guidance, distribution of notifications to all CMTs in the region alerting them to the issue, continuing to monitor the trend (if it represents an acceptably low risk), or other actions as needed. Standard phraseology shall be used in the "Corrective Actions Taken by Region" column using one of the following phrases (recognizing that various other actions planned by the Region will require different responses in the table):

- (1) "Actions by CMT(s) are appropriate and Region will continue to monitor"
- (2) "Issue reviewed by region and no corrective action is necessary at this time.  
Region will continue to monitor"
- (3) "Not applicable" (if no Regional Adverse Trends in Regulatory Compliance have been identified in that month of data).

5. Each region will use a memo (*template attached as a separate document*<sup>2</sup>) to transmit their findings via e-mail to the AFS-900 POC by the 15<sup>th</sup> of each month. In an effort to reduce waste please DO NOT mail these findings or memos to AFS-900. Findings will not identify specific carriers involved. Please note that all findings memos will be forwarded to AFS-1 and AVS-1 monthly.

- a) Only "new" Regional Adverse Trends in Regulatory Compliance should be noted in the table. If there have been no new ADI assessments completed for that element in the month being reviewed, the element should be moved into a bulleted list of "Status of Previously Identified Regional Adverse Trends in

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<sup>2</sup> The table headings used in each region's transmittal memo must match the template's, and only "Regional Adverse Trends in Regulatory Compliance" should be listed within the table.

- Regulatory Compliance" that includes a status update to include the month in which the trend was first noted, what has been done by the region to correct the trend, and any new findings through analysis of new ATOS data relevant to the issue. Previously identified trends will normally be tracked by the region for at least six months.
- b) If the region finds no Regional Adverse Trends in Regulatory Compliance in a particular month, the findings table should indicate "No trends identified."
  - c) Each month, each region is expected to document their most significant "Potential Adverse Trends Being Monitored" identified through their ATOS data review. An ATOS element might belong in this bin because the issues involved are not regulatory in nature or do not constitute a region-wide trend because the ADI score at one operator is causing the trend. The Potential Adverse Trends Being Monitored must be identified by ATOS element and must not exceed ten in number per month.

### **Requirements of the Analysis and Information Program Office (AIPO) of AFS-900**

1. No later than the 15th of each month AFS-900 AIPO Staff will receive the electronic transmittal memos from each region. AIPO will use those transmittal memos to prepare a synopsis of the findings and corrective actions planned by each region. The transmittal memos and synopsis will be packaged and distributed to AFS-1. (AFS-1 will be responsible for continuing the distribution of these materials to AVS and AOA.)
2. The AIPO Staff will conduct analysis of the regional trend reports and draft a biannual report to Congress to include a summary of the findings of the regional review teams.
3. Approximate Timeline:
  - (1) The first biannual report will include February 2012 thru October 2012 trends.
  - (2) The last regional report submission for the first biannual report will be November 15, 2012.
  - (3) Submit analysis and report to AFS-1 by December 01, 2012.
  - (4) AFS-1 report submission to AQS by December 15, 2012.
  - (5) Administrator's report to Congress submitted no later than February 14, 2013.
  - (6) Six-month cycles thereafter.
4. The AIPO Staff will schedule telecons with the regional POCs as needed to ensure calibration and consistency of the effort.

## **Appendix D**

### **Template for Transmittal Memo Used by AFS Regions to Document Findings from Monthly Section 343 Reviews of ATOS Data**

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# Federal Aviation Administration

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## Memorandum

Date:

To: Division Manager, AFS-900  
Manager, Analysis and Information Program Office, AFS-900

From: Division Manager, Flight Standards Division, \_\_\_\_\_ Region

Prepared by: *Fill in*

Subject: Public Law 112-95, Section 343 Monthly ATOS Trend Analysis of Data  
from September 2012

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The Southwest Region has reviewed the September 2012 ATOS data for the 14 CFR Part 121 certificate holders based in our region for adverse trends, in accordance with Public Law 112-95, Section 343.

The Regional Review Team consisted of the following:

Mr. Craig Spence (ASI representation)  
Mr. Todd Little  
*etc.*

The trends identified by the Review Team and the corrective action(s) taken in response to those trends are documented in the following table.

Identified Regional Adverse Trends in Regulatory Compliance	Corrective Action(s) Taken by Region

### Potential Adverse Trends Being Monitored

- *List from 1 to 10 most significant elements identified in the data review process*

Status of Previously Identified Regional Adverse Trends in Regulatory Compliance (as needed)

- *item one, etc.*

## **Appendix E**

### **Monthly Synopses of Findings from Section 343 Reviews of ATOS Data by AFS Regional Offices**



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**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: May 2013**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b><i>Potential</i> Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	• Training of Flight Attendants
Central (ACE) 5 operators	No new trends identified	<i>Not applicable</i>	• De-Icing Program
Eastern (AEA) 12 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• Maintenance Facility/Main Maint. Base</li> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• De-Icing Program (Ops)</li> <li>• Line Station Operations/Ground Personnel Duties</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Operational Control</li> </ul>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• Line Station Operations/Ground Personnel Duties</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Dispatch / Flight Release</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Operational Control</li> <li>• Short-Term Escalations</li> <li>• Manual Management</li> <li>• Training of Flight Attendants</li> <li>• Line Stations</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Providers</li> <li>• Carry-On Baggage Program</li> <li>• De-Icing Program (Ops)</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• RVSM Authorization</li> <li>• Training of Flight Crewmembers</li> <li>• Training of Station Personnel</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: June 2013**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	• Maintenance Providers
Central (ACE) 5 operators	No new trends identified	<i>Not applicable</i>	• De-Icing Program
Eastern (AEA) 12 operators	No new trends identified	<i>Not applicable</i>	• Carriage of Cargo • Line Station Operations/Ground Personnel Duties • Maintenance Program
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	• Control of Calibrated Tools and Test Equipment • Maintenance Program • Maintenance Providers • Operational Control

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Northwest Mountain (ANM) <i>7 operators</i>	<ul style="list-style-type: none"> <li>• Training of Flight Crewmembers</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• Line Station Operations/Ground Personnel Duties</li> </ul>
Southern (ASO) <i>15 operators</i>	<ul style="list-style-type: none"> <li>• Airworthiness Release / Maintenance Log Recording Requirements</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Carry-On Baggage Program</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Flight Attendant Duty/Rest Time</li> <li>• Maintenance Facility/Main Maint. Base</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Mechanical Interruption Summary (MIS) / Service Difficulty Reports (SDR)</li> <li>• Operational Control</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Station Personnel</li> </ul>
Southwest (ASW) <i>6 operators</i>	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> <li>• Short-Term Escalations</li> <li>• Training of Flight Attendants</li> </ul>
Western-Pacific (AWP) <i>13 operators</i>	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Ops)</li> <li>• Maintenance Providers</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• RVSM Authorization</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: July 2013**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> </ul>
Central (ACE) 5 operators	<ul style="list-style-type: none"> <li>• Maintenance/Inspection Schedule</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airman Duties/Flight Deck Procedures</li> <li>• Line Station Operations/Ground Personnel Duties</li> </ul>
Eastern (AEA) 12 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Directive and Maintenance Record</li> <li>• Director Of Safety</li> <li>• Passenger Handling</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Northwest Mountain (ANM) 7 operators	<ul style="list-style-type: none"> <li>• Appropriate Airman/Crewmember Checks and Qualifications</li> <li>• Lower Landing Minimums</li> </ul>	For both trends, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airworthiness Directive and Maintenance Record</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Dispatch Flight Release</li> <li>• Fueling</li> <li>• Maintenance Facility/Main Maint. Base</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• RII Personnel</li> <li>• Special Flight Permits</li> <li>• Training of Flight Attendants</li> </ul>
Southwest (ASW) 6 operators	<ul style="list-style-type: none"> <li>• Maintenance Providers</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Maintenance Inspection/Schedule</li> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Airman Duties/Flight Deck Procedures</li> <li>• Training of Flight Attendants</li> <li>• Line Stations</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Carry-On baggage Program</li> <li>• De-Icing Program (Ops)</li> <li>• Maintenance Providers</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• RVSM Authorization</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: August 2013**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
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- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b><i>Potential</i> Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> </ul>
Central (ACE) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties/Flight Deck Procedures</li> <li>• Line Station Operations/Ground Personnel Duties</li> </ul>
Eastern (AEA) 12 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Cargo Handling Equipment Systems and Appliances</li> <li>• Passenger Handling</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>



<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Directive and Maintenance Record</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Dispatch Flight Release</li> <li>• Fueling</li> <li>• Maintenance Control</li> <li>• Maintenance Facility/Main Maint. Base</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• RII Personnel</li> <li>• Special Flight Permits</li> <li>• Training of Flight Attendants</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> <li>• Short-Term Escalations</li> <li>• Training of Flight Attendants</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Carry-On baggage Program</li> <li>• De-Icing Program (Ops)</li> <li>• Maintenance Control</li> <li>• Training of Flight Crewmembers</li> <li>• Training of Station Personnel</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: September 2013**

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**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	• Maintenance Program
Central (ACE) 5 operators	• Line Station Operations/Ground Personnel Duties	Actions by CMT(s) are appropriate and Region will continue to monitor	• Mechanical Interruption Summary (MIS) / Service Difficulty Report (SDR)
Eastern (AEA) 12 operators	• Maintenance Providers	Actions by CMT(s) are appropriate and Region will continue to monitor	• Airworthiness Release / Maintenance Log Recording • Continuous Analysis and Surveillance System (CASS) • Exit Seating Program • Flight / Load Manifest / Weight & Balance Control • Maintenance Facility / Main Maint. Base • MEL / CDL / Deferred Maintenance • RII Personnel

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• Outsource Crewmember Training</li> </ul>
Northwest Mountain (ANM) 7 operators	<ul style="list-style-type: none"> <li>• Fueling</li> <li>• Special Flight Permits</li> <li>• Training of Station Personnel</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airworthiness Directive and Maintenance Record</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 15 operators	<ul style="list-style-type: none"> <li>• Dispatch / Flight Release</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Carry-On Baggage Program</li> <li>• Crewmember Duties / Cabin Procedures</li> <li>• Exit Seating Program</li> <li>• Flight Crewmember Flight / Duty / Rest Time</li> <li>• Flight / Load Manifest / Weight &amp; Balance Control</li> <li>• Line Stations</li> <li>• Manual Management</li> <li>• Passenger Handling</li> <li>• Short Term Escalations</li> <li>• Training of Check Airmen and Instructors</li> </ul>
Southwest (ASW) 6 operators	<ul style="list-style-type: none"> <li>• Maintenance Facility / Main Maintenance Base</li> </ul>	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Certificate Requirements</li> <li>• Manual Management</li> <li>• Flight / Load Manifest / Weight &amp; Balance Control</li> <li>• Operational Control</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Carry-On Baggage Program</li> <li>• De-Icing Program (Ops)</li> <li>• Maintenance Control</li> <li>• Training of Flight Crewmembers</li> <li>• Weight and Balance Program</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: October 2013**

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**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	• Dispatch / Flight Release	Actions by CMT(s) are appropriate and Region will continue to monitor	• Line Stations
Central (ACE) 5 operators	• Reliability Program • Maintenance Control	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	• Mechanical Interruption Summary (MIS) / Service Difficulty Reports (SDR)
Eastern (AEA) 12 operators	No new trends identified	<i>Not applicable</i>	• Aircraft Parts / Material Control • Airworthiness Release / Maintenance Log Recording • Extended Operations (ETOPS) AW • Line Stations • Maintenance Facility / Main Maint. Base • MEL / CDL / Deferred Maintenance • RII Personnel

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• Outsource Crewmember Training</li> </ul>
Northwest Mountain (ANM) 7 operators	<ul style="list-style-type: none"> <li>• Fueling</li> <li>• Special Flight Permits</li> <li>• Training of Station Personnel</li> </ul>	<p>Repetitive trend flagged from 4 carriers' performance, regulatory issues observed and corrective actions taken by offices are appropriate. Regional team is continuing to monitor.</p> <p>Repetitive trend flagged from 2 carriers' performance, one regulatory issue observed and corrective action taken by office was appropriate. Regional team continues to monitor.</p> <p>Repetitive trend from regulatory issues observed and corrective actions taken by offices are appropriate. The regional team is aware of the trend and is continuing to monitor.</p>	<ul style="list-style-type: none"> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Fueling</li> <li>• Line Stations</li> <li>• Line Station Operations / Ground Personnel Duties</li> <li>• Maintenance Control</li> <li>• MEL / CDL / Deferred Maintenance</li> <li>• RVSM Authorization</li> </ul>
Southwest (ASW) 6 operators	<ul style="list-style-type: none"> <li>• Mechanical Interruption Summary (MIS) / Service Difficulty Reports (SDR)</li> <li>• Maintenance Control</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Airworthiness Release / Maintenance Log Recording Requirements</li> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• Flight / Load Manifest / Weight and Balance Control</li> <li>• Line Stations</li> <li>• Maintenance Facility / Main Maintenance Base</li> <li>• Maintenance Providers</li> <li>• MEL / CDL / Deferred Maintenance</li> <li>• Weight and Balance Program</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Carry-On Baggage Program</li> <li>• De-Icing Program (Ops)</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: November 2013**

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**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	• Line Stations
Central (ACE) 5 operators	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Lower Landing Minimums</li> <li>• Manual Management</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	• De-Icing Program (Operations)
Eastern (AEA) 12 operators	No new trends identified	<i>Not applicable</i>	• Airworthiness Release / Maintenance Log Recording
Great Lakes (AGL) 18 operators	<ul style="list-style-type: none"> <li>• Exit Seating Program</li> <li>• Outsource Crewmember Training</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	• Maintenance Program
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Special Flight Permits</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• De-Icing Program (Airworthiness)</li> <li>• Line Stations</li> <li>• Maintenance Facility / Main Maintenance Base</li> <li>• Maintenance Providers</li> <li>• Manual Management</li> <li>• MEL / CDL / Deferred Maintenance</li> <li>• Short-Term Escalations</li> <li>• Special Navigation Areas of Operation</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Carry-On Baggage Program</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• De-Icing Program (Ops)</li> <li>• Training of Flight Crewmembers</li> </ul>



**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: December 2013**

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<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	• Line Stations
Central (ACE) 5 operators	No new trends identified	<i>Not applicable</i>	• De-Icing Program (Operations)
Eastern (AEA) 12 operators	<ul style="list-style-type: none"> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Major Repairs and Alterations</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airworthiness Release / Maintenance Log Recording</li> <li>• Aircraft Parts/Material Control</li> <li>• Flight/Load Manifest/Wt. &amp; Balance Control</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• MEL/CDL/Deferred Maintenance</li> <li>• RII Personnel</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• None</li> </ul>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Part 119 Required Personnel</li> <li>• Safety Program (Ground and Flight)</li> <li>• Training of Flight Attendants</li> <li>• Weight and Balance Program</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• De-Icing Program (Airworthiness)</li> <li>• Extended Operations (ETOPS)</li> <li>• Line Stations</li> <li>• Maintenance Facility / Main Maintenance Base</li> <li>• Maintenance Providers</li> <li>• Manual Management</li> <li>• MEL / CDL / Deferred Maintenance</li> <li>• Short-Term Escalations</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Carry-On Baggage Program</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: January 2014**

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Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> </ul>
Central (ACE) 4 operators	<ul style="list-style-type: none"> <li>• Maintenance Providers</li> <li>• Required Inspection Items (RII)</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• De-Icing Program (Operations)</li> <li>• MEL/CDL/Deferred Maintenance</li> </ul>
Eastern (AEA) 11 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Release / Maintenance Log Recording</li> <li>• Aircraft Parts/Material Control</li> <li>• De-Icing Program (Airworthiness)</li> <li>• Flight/Load Manifest/Wt. &amp; Balance Control</li> <li>• Maintenance/Inspection Schedule</li> <li>• MEL/CDL/Deferred Maintenance</li> <li>• Required Inspection Items (RII)</li> <li>• RII Personnel</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> <li>• Maintenance/Inspection Schedule</li> </ul>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Line Stations</li> </ul>
Southwest (ASW) 6 operators	<ul style="list-style-type: none"> <li>• Fueling</li> <li>• Maintenance Program</li> <li>• Maintenance/Inspection Schedule</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• De-Icing Program (Airworthiness)</li> <li>• De-Icing Program (Operations)</li> <li>• Dispatch/Flight Release</li> <li>• Manual Management</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Part 119 Required Personnel</li> <li>• Required Inspection Items (RII)</li> <li>• RVSM Authorization</li> <li>• Short-Term Escalations</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Carry-On Baggage Program</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• De-Icing Program (Operations)</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
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Month Analyzed: February 2014**

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<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b><i>Potential</i> Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> <li>• Manual Management</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Operations)</li> <li>• MEL/CDL/Deferred Maintenance</li> </ul>
Eastern (AEA) 11 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts/Material Control</li> <li>• Flight/Load Manifest/Wt. &amp; Balance Control</li> <li>• MEL/CDL/Deferred Maintenance</li> <li>• Required Inspection Items (RII)</li> <li>• RII Personnel</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> <li>• Maintenance/Inspection Schedule</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Control</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• De-Icing Program (Airworthiness)</li> <li>• De-Icing Program (Operations)</li> <li>• Dispatch/Flight Release</li> <li>• Manual Management</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Part 119 Required Personnel</li> <li>• Required Inspection Items (RII)</li> <li>• RVSM Authorization</li> <li>• Short-Term Escalations</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts / Material Control</li> <li>• Carry-On Baggage Program</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• De-Icing Program (Operations)</li> <li>• Maintenance Program</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: March 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b><i>Potential</i> Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> <li>• De-Icing Program (Operations)</li> <li>• Manual Management</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Operations)</li> <li>• MEL/CDL/Deferred Maintenance</li> </ul>

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Eastern (AEA) 11 operators	<ul style="list-style-type: none"> <li>Operational Control</li> <li>Flight Crewmember Flight/Duty/Rest Time</li> </ul>	For both trends identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>Aircraft Performance Operating Limits</li> <li>Airmen Duties / Flight Deck Procedures</li> <li>Cargo Handling Equipment, Systems and Appliances</li> <li>De-Icing Program (Airworthiness)</li> <li>De-Icing Program (Operations)</li> <li>Dispatch or Flight Release</li> <li>Flight / Load Manifest / Weight and Balance</li> <li>Maintenance Control</li> <li>Station Facilities</li> <li>Training of Flight Crewmembers</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>De-Icing Program (Airworthiness)</li> <li>Maintenance/Inspection Schedule</li> <li>Training of Dispatchers/Flight Followers</li> </ul>
Northwest Mountain (ANM) 7 operators	<ul style="list-style-type: none"> <li>Required Inspection Items (RII)</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>Continuous Analysis and Surveillance System (CASS)</li> <li>Maintenance Program</li> <li>Maintenance Providers</li> <li>Special Flight Permits</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>Passenger Handling</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>Maintenance/Required Inspection Item (RII) Training Program</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>Aircraft Parts / Material Control</li> <li>Carry-On Baggage Program</li> <li>Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>Maintenance Program</li> <li>Operational Control</li> <li>Training of Flight Crewmembers</li> </ul>



**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: April 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

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- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> <li>• De-Icing Program (Operations)</li> <li>• Manual Management</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Operations)</li> <li>• MEL/CDL/Deferred Maintenance</li> </ul>
Eastern (AEA) 11 operators	<ul style="list-style-type: none"> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• De-Icing Program (Airworthiness)</li> <li>• Maintenance Providers</li> </ul>	For all trends identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Exit Seating Program</li> <li>• Maintenance Program</li> <li>• Reliability Program</li> <li>• Required Inspection Items (RII)</li> <li>• Training of Flight Attendants</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance/Inspection Schedule</li> <li>• Training of Dispatchers/Flight Followers</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Northwest Mountain (ANM) 7 operators	<ul style="list-style-type: none"> <li>• Fueling</li> <li>• Pilot Operating Limitations/Recent Experience</li> <li>• Appropriate Airmen/Crewmember Checks and Qualifications</li> </ul>	For all trends identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• Special Flight Permits</li> </ul>
Southern (ASO) 17 operators	<ul style="list-style-type: none"> <li>• Line Stations</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Dispatch Duty/Rest Time</li> <li>• Maintenance Control</li> <li>• Maintenance Certificate Requirements</li> <li>• Maintenance Program</li> <li>• MEL/CDL/Deferred Maintenance</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• Extended Operations (ETOPS) (Airworthiness)</li> <li>• De-Icing Program (Airworthiness)</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Aircraft Parts/Material Control</li> <li>• Carry-On Baggage Program</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Maintenance Program</li> <li>• Manual Management</li> <li>• Operational Control</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: May 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Operations)</li> <li>• MEL/CDL/Deferred Maintenance</li> </ul>
Eastern (AEA) 11 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> <li>• Operational Control</li> <li>• Reliability Program</li> <li>• Required Inspection Items (RII)</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance/Inspection Schedule</li> <li>• Reliability Program</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> </ul>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Providers</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Southern (ASO) 17 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Lower Landing Minimums</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Passenger Handling</li> </ul>
Southwest (ASW) 6 operators	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Lower Landing Minimums</li> <li>• Extended Operations (ETOPS)</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Training of Station Personnel</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Release/Maintenance Log Recording Requirements</li> <li>• Aircraft Parts/Material Control</li> <li>• Carry-On Baggage Program</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Maintenance Program</li> <li>• Manual Management</li> <li>• Operational Control</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: June 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

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**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• MEL/CDL/Deferred Maintenance</li> </ul>
Eastern (AEA) 11 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Control</li> <li>• Maintenance Program</li> <li>• Required Inspection Items (RII)</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance/Inspection Schedule</li> <li>• Reliability Program</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Hazardous Materials</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 17 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Release/Maintenance Log Recording Requirements</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Exit Seating Program</li> <li>• Flight/Load Manifest/Wt. &amp; Balance Control</li> <li>• Maintenance Control</li> <li>• Maintenance/Inspection Schedule</li> <li>• MEL/CDL/Deferred Maintenance</li> <li>• Required Inspection Items (RII)</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Lower Landing Minimums</li> <li>• Extended Operations (ETOPS)</li> <li>• Training of Station Personnel</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Maintenance Program</li> <li>• Part 119 Required Personnel</li> <li>• RVSM Authorization</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: July 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

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**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Certificate Requirements</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Major Repairs and Alterations</li> <li>• RII Personnel</li> </ul>
Eastern (AEA) 11 operators	<ul style="list-style-type: none"> <li>• Maintenance Providers</li> <li>• Line Station Operations/Ground Personnel Duties</li> </ul>	Actions by CMT are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Maintenance Control</li> <li>• Maintenance Program</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance/Inspection Schedule</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Maintenance Providers</li> </ul>
Southern (ASO) 17 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airplane Performance Operating Limitations</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Fueling</li> <li>• Maintenance Control</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Manual Management</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• Lower Landing Minimums</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Part 119 Required Personnel</li> </ul>
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Carryon Baggage Program</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Maintenance Program</li> <li>• Required Inspection Items (RII)</li> <li>• RVSM Authorization</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>



**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: August 2014**

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**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b><i>Potential</i> Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Certificate Requirements</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Major Repairs and Alterations</li> <li>• RII Personnel</li> </ul>
Eastern (AEA) 11 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Program</li> </ul>

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Extended Operations (ETOPS – Operations)</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>
Northwest Mountain (ANM) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airmen Duties/Flight Deck Procedures</li> <li>• Computer Based Recordkeeping</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Manual Management</li> <li>• RII Personnel</li> <li>• RVSM Authorization</li> <li>• Training of Check Airmen and Instructors</li> </ul>
Southern (ASO) 16 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Cargo Handling Equip., Systems and Appliances</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Dispatch Duty/Rest Time</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Operational Control</li> <li>• Safety Program (Ground and Flight)</li> </ul>
Southwest (ASW) 6 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• Lower Landing Minimums</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Part 119 Required Personnel</li> </ul>

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Western-Pacific (AWP) 13 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Carryon Baggage Program</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Required Inspection Items (RII)</li> <li>• RVSM Authorization</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: September 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b><i>Potential</i> Adverse Trends Being Monitored</b>
Alaska (AAL) 5 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Manual Management</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Certificate Requirements</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Major Repairs and Alterations</li> <li>• RII Personnel</li> </ul>

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Eastern (AEA) 10 operators	<ul style="list-style-type: none"> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Line Stations</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Maintenance Control</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Flight/Load Manifest/Weight and Balance Control</li> <li>• Maintenance Control</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance Program</li> <li>• Manual Management (<i>Airworthiness</i>)</li> <li>• RII Personnel</li> </ul>
Great Lakes (AGL) 18 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Extended Operations (ETOPS – Operations)</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>
Northwest Mountain (ANM) 6 operators	<ul style="list-style-type: none"> <li>• Aircraft Parts/Material Control</li> <li>• RVSM Authorization</li> </ul>	For each trend identified, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Safety Program (Ground and Flight)</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Attendants</li> </ul>
Southern (ASO) 17 operators	<ul style="list-style-type: none"> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• MEL/CDL/Deferred Maintenance</li> </ul>	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airworthiness Release/Maintenance Log Recording</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Carry-On Baggage Program</li> <li>• Flight Attendant Duty/Rest Time</li> <li>• Line Stations</li> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• Manual Management</li> <li>• Operational Control</li> <li>• Part 119 Required Personnel</li> </ul>
Southwest (ASW) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• Lower Landing Minimums</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Part 119 Required Personnel</li> </ul>

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Western-Pacific (AWP) 13 operators	<ul style="list-style-type: none"> <li>• Exit Seating Program</li> </ul>	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Carryon Baggage Program</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Required Inspection Items (RII)</li> <li>• RVSM Authorization</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: October 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.
- As of June 2014, FAA surveillance of 14 CFR Part 121 operators is being transitioned under a phased approach from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition process of all Part 121 operators will transpire over the period from July 2014 to February 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS Region will need to **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data

<sup>1</sup> Oversight of all 14 CFR Part 121 operators based in the Alaska Region has been moved under the Safety Assurance System.

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Central (ACE) 4 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Certificate Requirements</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Major Repairs and Alterations</li> </ul>
Eastern (AEA) 10 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Flight Attendant Duty/Rest Time</li> <li>• Safety Program (Ground and Flight)</li> </ul>
Great Lakes (AGL) 17 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>
Northwest Mountain (ANM) 6 operators	<ul style="list-style-type: none"> <li>• Aircraft Parts/Material Control</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Safety Program (Ground and Flight)</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Attendants</li> </ul>
Southern (ASO) 15 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Cargo Handling, Equipment, and Appliances</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Line Stations</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance Inspection Schedule</li> <li>• Maintenance Providers</li> </ul>



Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Southwest (ASW) 7 operators	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Carry-On Baggage Program</li> <li>• Flight Crewmember Duty/Rest Time</li> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• Lower Landing Minimums</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Operational Control</li> <li>• RII Personnel</li> <li>• Safety Program (Ground and Flight)</li> <li>• Training of Station Personnel</li> </ul>
Western-Pacific (AWP) 13 operators	<ul style="list-style-type: none"> <li>• Carry-On Baggage Program</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Coordinating Agencies for Suppliers Evaluation (CASE)</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Required Inspection Items (RII)</li> <li>• RVSM Authorization</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: November 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.
- As of June 2014, FAA surveillance of 14 CFR Part 121 operators is being transitioned under a phased approach from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition process of all Part 121 operators will transpire over the period from July 2014 to February 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS Region will need to **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program.

**Synopsis of Findings and Planned Actions from ATOS Data Review**

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Alaska (AAL) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data

<sup>1</sup> Oversight of all 14 CFR Part 121 operators based in the Alaska Region are now under the Safety Assurance System.

<b>Region</b>	<b>Identified Regional Adverse Trends in Regulatory Compliance</b>	<b>Corrective Actions (CAs) Taken by Region</b>	<b>Potential Adverse Trends Being Monitored</b>
Central (ACE) 2 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Certificate Requirements</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Major Repairs and Alterations</li> </ul>
Eastern (AEA) 10 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Maintenance/Inspection Schedule</li> <li>• Manual Management</li> </ul>
Great Lakes (AGL) 17 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>
Northwest Mountain (ANM) 6 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Safety Program (Ground and Flight)</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Attendants</li> </ul>
Southern (ASO) 11 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• De-Icing Program (Ops)</li> <li>• RVSM Authorization</li> </ul>
Southwest (ASW) 7 operators under ATOS	Lower Landing Minimums	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Carry-On Baggage Program</li> <li>• Flight Crewmember Duty/Rest Time</li> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• Part 119 Required Personnel</li> <li>• RII Personnel</li> </ul>

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Western-Pacific (AWP) 13 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Required Inspection Items (RII)</li> <li>• RVSM Authorization</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: December 2014**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.
- As of June 2014, FAA surveillance of 14 CFR Part 121 operators is being transitioned under a phased approach from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition process of all Part 121 operators will transpire over the period from July 2014 to February 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS Region will need to **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program.
- **The Flight Standards National Field Office (AFS-900) recommends that the Section 343 reports have a sunset date of April 2015.** Beyond that date any analysis of ATOS data will represent less than fifty percent of the national FAA oversight of 14 CFR Part 121 operators and therefore analysis of adverse trends in regulatory compliance will not represent a valid sample of all operators

### Synopsis of Findings and Planned Actions from ATOS Data Review

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Alaska (AAL) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Central (ACE) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Eastern (AEA) 10 operators under ATOS	<ul style="list-style-type: none"> <li>Line Station Operations/Ground Personnel Duties</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>Flight Crewmember Duty/Rest Time</li> <li>Line Stations</li> <li>Maintenance Program</li> <li>Manual Management</li> <li>MEL/CDL/Deferred Maintenance</li> <li>Special Flight Permits</li> </ul>
Great Lakes (AGL) 16 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>Maintenance Facility/Main Maintenance Base</li> <li>Maintenance/Inspection Schedule</li> <li>Training and Qualification of Dispatchers/Flight Followers</li> <li>Training of Flight Crewmembers</li> </ul>
Northwest Mountain (ANM) 6 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>Safety Program (Ground and Flight)</li> <li>Training and Qualification of Dispatchers/Flight Followers</li> <li>Training of Flight Attendants</li> </ul>
Southern (ASO) 11 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>Carriage of Cargo</li> <li>Line Station Operations/Ground Personnel Duties</li> <li>Manual Management</li> <li>Required Inspection Items (RII)</li> </ul>

<sup>1</sup> Oversight of all 14 CFR Part 121 operators based in the Alaska and Central Regions are now under the Safety Assurance System.

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Southwest (ASW) 7 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Carry-On Baggage Program</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Part 119 Required Personnel</li> <li>• RII Personnel</li> </ul>
Western-Pacific (AWP) 13 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Operational Control</li> <li>• Required Inspection Items (RII)</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: January 2015**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

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- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.
- As of June 2014, FAA surveillance of 14 CFR Part 121 operators is being transitioned under a phased approach from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition process of all Part 121 operators will transpire over the period from July 2014 to February 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS Region will need to **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program.
- **The Flight Standards National Field Office (AFS-900) recommends that the Section 343 reports have a sunset date of April 2015.** Beyond that date any analysis of ATOS data will represent less than fifty percent of the national FAA oversight of 14 CFR Part 121 operators and therefore analysis of adverse trends in regulatory compliance will not represent a valid sample of all operators



### Synopsis of Findings and Planned Actions from ATOS Data Review

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Alaska (AAL) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Central (ACE) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Eastern (AEA) 10 operators under ATOS	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> </ul>	For both areas, actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Dispatch/Flight Release</li> <li>• Line Stations</li> <li>• Maintenance/Inspection Schedule</li> <li>• Maintenance Program</li> <li>• Training of Check Airmen and Instructors</li> </ul>
Great Lakes (AGL) 16 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Flight Crewmembers</li> </ul>
Northwest Mountain (ANM) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Southern (ASO) 11 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• Maintenance Program</li> <li>• Maintenance/Required Inspection Item (RII) Training Program</li> <li>• Special Flight Permits</li> <li>• Weight and Balance</li> </ul>

<sup>1</sup> Oversight of all 14 CFR Part 121 operators based in the Alaska, Central, and Northwest Mountain Regions are now under the Safety Assurance System.

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Southwest (ASW) 7 operators under ATOS	Aircraft Parts/Material Control	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• Carry-On Baggage Program</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Part 119 Required Personnel</li> <li>• RII Personnel</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> </ul>
Western-Pacific (AWP) 13 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Operational Control</li> <li>• Required Inspection Items (RII)</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: February 2015**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.
- As of June 2014, FAA surveillance of 14 CFR Part 121 operators is being transitioned under a phased approach from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition process of all Part 121 operators will transpire over the period from July 2014 to February 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS Region will need to **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program.
- **The Flight Standards National Field Office (AFS-900) recommends that the Section 343 reports have a sunset date of April 2015.** Beyond that date any analysis of ATOS data will represent less than fifty percent of the national FAA oversight of 14 CFR Part 121 operators and therefore analysis of adverse trends in regulatory compliance will not represent a valid sample of all operators

### Synopsis of Findings and Planned Actions from ATOS Data Review

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Alaska (AAL) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Central (ACE) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Eastern (AEA) 10 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• Dispatch/Flight Release</li> <li>• Maintenance/Inspection Schedule</li> <li>• Training of Check Airmen and Instructors</li> </ul>
Great Lakes (AGL) 16 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Maintenance/Inspection Schedule</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> </ul>
Northwest Mountain (ANM) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Southern (ASO) 11 operators under ATOS	Special Flight Permits	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Airmen Duties/Flightdeck Procedures</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Line Station Operations/Ground Personnel Duties</li> <li>• MEL/CDL/Deferred Maintenance</li> <li>• Part 119 Required Personnel</li> </ul>

<sup>1</sup> Oversight of all 14 CFR Part 121 operators based in the Alaska, Central, and Northwest Mountain Regions are now under the Safety Assurance System.

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Southwest (ASW) 7 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• Carry-On Baggage Program</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Part 119 Required Personnel</li> <li>• RII Personnel</li> </ul>
Western-Pacific (AWP) 13 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Operational Control</li> <li>• Required Inspection Items (RII)</li> <li>• Training and Qualification of Dispatchers/Flight Followers</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>

**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: March 2015**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
- The ATOS process is based upon periodic assessments of different elements of the operator's program. These assessments occur at various intervals based on criticality of the element. Performance Assessments (PAs) can occur at 6 month, 1 year, or 3 year intervals while a Design Assessment (DA) occurs at a 5 year interval.
- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.
- As of June 2014, FAA surveillance of 14 CFR Part 121 operators is being transitioned under a phased approach from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition process of all Part 121 operators will transpire over the period from July 2014 to January 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS Region will need to **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program.
- **The Flight Standards National Field Office (AFS-900) recommends that the Section 343 reports have a sunset date of April 2015.** Beyond that date any analysis of ATOS data will represent less than fifty percent of the national FAA oversight of 14 CFR Part 121 operators and therefore analysis of adverse trends in regulatory compliance will not represent a valid sample of all operators

### Synopsis of Findings and Planned Actions from ATOS Data Review

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Alaska (AAL) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Central (ACE) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Eastern (AEA) 10 operators under ATOS	Dispatch/Flight Release	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Carry-On Baggage Program</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Exit Seating Program</li> <li>• Fueling</li> <li>• Major Repairs and Alterations</li> <li>• RVSM Authorization (AW)</li> <li>• Short-Term Escalations</li> </ul>
Great Lakes (AGL) 7 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• Extended Operations (ETOPS -- AW)</li> <li>• Required Inspection Items (RII)</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> </ul>
Northwest Mountain (ANM) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Southern (ASO) 11 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• Aircraft Parts/Material Control</li> <li>• Airworthiness Directives and Maintenance Record Requirements</li> <li>• Dispatch/Flight Release</li> <li>• Fueling</li> <li>• Line Stations</li> <li>• Maintenance Control</li> <li>• Maintenance Program</li> <li>• Maintenance/Inspection Schedule</li> <li>• RVSM Authorization</li> </ul>

<sup>1</sup> Oversight of all 14 CFR Part 121 operators based in the Alaska, Central, and Northwest Mountain Regions are now under the Safety Assurance System.

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Southwest (ASW) 7 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• Carry-On Baggage Program</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Part 119 Required Personnel</li> </ul>
Western-Pacific (AWP) 13 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Operational Control</li> <li>• Required Inspection Items (RII)</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>



**Section 343 Monthly Synopsis of  
Flight Standards Regional Offices - Air Transportation Oversight System (ATOS) Data  
Month Analyzed: April 2015**

In accordance with section 343 of the FAA Modernization and Reform Act of 2012, each Flight Standards region is required to submit a monthly report to the Administrator, the Associate Administrator for Aviation Safety, and the Director of Flight Standards Service. The regions have used the ATOS data base to identify adverse trends for their regions and documented their findings and corrective actions planned or being taken to address each adverse trend identified. This document is a synopsis of these findings.

It is important to note the following when reviewing the data being presented:

- ATOS is designed for the local Certificate Management Team (CMT) to identify hazards and risks at the local level and work with the certificate holder to develop and track corrective actions. The process does not lend itself to a comparative national trend analysis program without significant manipulation of the data.
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- Trends are slow to develop due to the periodic nature of the ATOS assessment program.
- The required Administrator's biannual report with the roll-up of data has the potential to provide more useful analytical information in the long term.
- As of June 2014, FAA surveillance of 14 CFR Part 121 operators is being transitioned under a phased approach from ATOS to the FAA's new Safety Assurance System (SAS). The ATOS-to-SAS transition process of all Part 121 operators will transpire over the period from July 2014 to January 2016. As each 121 operator is transitioned from ATOS to SAS, analysis under Section 343 will have to be modified. Specifically, each AFS Region will need to **exclude** operators from the Section 343 analysis each month that have been transitioned to SAS surveillance. Monthly analysis for "Regional Adverse Trend in Regulatory Compliance" under the Section 343 requirements will continue for all operators within each region that are still being surveilled under the ATOS program until such time as the region no longer has any operators under the ATOS program.
- **The Flight Standards National Field Office (AFS-900) recommended that the Section 343 reports have a sunset date of April 2015.** Beyond that date any analysis of ATOS data will represent less than fifty percent of the national FAA oversight of 14 CFR Part 121 operators and therefore analysis of adverse trends in regulatory compliance will not represent a valid sample of all operators

### Synopsis of Findings and Planned Actions from ATOS Data Review

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	Potential Adverse Trends Being Monitored
Alaska (AAL) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Central (ACE) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Eastern (AEA) 11 operators under ATOS	<ul style="list-style-type: none"> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Line Station Operations/Ground Personnel Duties</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• De-Icing Program (Airworthiness)</li> <li>• Hazardous Materials ADG</li> <li>• Flight/Load Manifest/Weight &amp; Balance Control</li> </ul>
Great Lakes (AGL) 7 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• Extended Operations (ETOPS -- AW)</li> <li>• Required Inspection Items (RII)</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> </ul>
Northwest Mountain (ANM) 0 operators under ATOS <sup>1</sup>	No data	Not applicable	No data
Southern (ASO) 11 operators under ATOS	No new trends identified	Not applicable	<ul style="list-style-type: none"> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Fueling</li> <li>• Line Stations</li> </ul>
Southwest (ASW) 6 operators under ATOS	<ul style="list-style-type: none"> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Short-Term Escalations</li> </ul>	Actions by CMT(s) are appropriate and Region will continue to monitor	<ul style="list-style-type: none"> <li>• Cargo Handling Equipment, Systems and Appliances</li> <li>• Carry-On Baggage Program</li> <li>• Crewmember Duties/Cabin Procedures</li> <li>• Flight Crewmember Flight/Duty/Rest Time</li> <li>• Hazardous Materials ADG</li> <li>• Maintenance Control</li> <li>• Maintenance Facility/Main Maintenance Base</li> <li>• Major Repairs and Alterations</li> <li>• Part 119 Required Personnel</li> </ul>

<sup>1</sup> Oversight of all 14 CFR Part 121 operators based in the Alaska, Central, and Northwest Mountain Regions are now under the Safety Assurance System.

Region	Identified Regional Adverse Trends in Regulatory Compliance	Corrective Actions (CAs) Taken by Region	<i>Potential</i> Adverse Trends Being Monitored
Western-Pacific (AWP) 3 operators under ATOS	No new trends identified	<i>Not applicable</i>	<ul style="list-style-type: none"> <li>• Airman Duties / Flightdeck Procedures</li> <li>• Continuous Analysis and Surveillance System (CASS)</li> <li>• Control of Calibrated Tools and Test Equipment</li> <li>• Maintenance Program</li> <li>• Maintenance Providers</li> <li>• MEL/CDL/NEF Procedures</li> <li>• Operational Control</li> <li>• Required Inspection Items (RII)</li> <li>• Training of Check Airmen and Instructors</li> <li>• Training of Flight Crewmembers</li> </ul>